

PHA Plans

Annual Plan for Fiscal Year 2001

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

PHA Plan Agency Identification

PHA Name: Housing and Redevelopment Authority of Duluth, MN

PHA Number: MN003

PHA Fiscal Year Beginning: 10/2001

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices
- ☐ Main administrative office of the local government
- ☐ Main administrative office of the County government
- ☐ Main administrative office of the State government
- ☐ Public library
- ☐ PHA website
- ☐ Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- ☒ Main business office of the PHA
- ☐ PHA development management offices
- ☐ Other (list below)

Annual PHA Plan

PHA Fiscal Year 2001

[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

☒ **Standard Plan**

Streamlined Plan:

- ☐ **High Performing PHA**
☐ **Small Agency (<250 Public Housing Units)**
☐ **Administering Section 8 Only**

☐ **Troubled Agency Plan**

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

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Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

Required Attachments:

- ☒ Admissions Policy for Deconcentration (in ACOP and separate attachment)
- ☒ FY 2000 Capital Fund Program Annual Statement
- ☒ Resident membership of the PHA Governing Board
- ☒ Membership of Resident Advisory Board
- ☒ HRA Duluth Pet Policy

Optional Attachments:

- ☐ PHA Management Organizational Chart
- ☐ FY 2000 Capital Fund Program 5 Year Action Plan
- ☒ Public Housing Drug Elimination Program (PHDEP) Plan
- ☒ Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- ☒ Other (List below, providing each attachment name)
Section 8 Homeownership Capacity Statement

Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public Housing Deconcentration and Income Mixing Documentation:	Annual Plan: Eligibility, Selection,

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Schedule of flat rents offered at each public housing development <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
X	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
X	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
X	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type-# of Households							
Family Type	Overall	Afford- ability	% with any Proble ms	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	4581	76%	77%	N/A	N/A	N/A	N/A
Income >30% but <=50% of AMI	4728	68%	52%	N/A	N/A	N/A	N/A
Income >50% but <80% of AMI	5857	26%	25%	N/A	N/A	N/A	N/A
Elderly	3236	63%	53%	N/A	N/A	N/A	N/A
Families with Disabilities	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Race/Ethnicity- caucasian	14,362	N/A	N/A	N/A	N/A	N/A	N/A
Race/Ethnicity- afro-american	312	N/A	N/A	N/A	N/A	N/A	N/A
Race/Ethnicity- Hispanic	53	N/A	N/A	N/A	N/A	N/A	N/A
Race/Ethnicity- other: NatAm/Asian	439						

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- ☒ Consolidated Plan of the Jurisdiction/s
Indicate year: 2001
- ☒ U.S. Census data: the Comprehensive Housing Affordability Strategy
("CHAS") dataset
- ☐ American Housing Survey data

- Indicate year:
- ☒ Other housing market study
Indicate year: 2000 **Maxfield Study**
- ☒ Other sources: (list and indicate year of information)

HRA of Duluth Waiting Lists

B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

State the housing needs of the families on the PHA's waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input checked="" type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	1077		
Extremely low income <=30% AMI	581	54%	
Very low income (>30% but <=50% AMI)	485	45%	
Low income (>50% but <80% AMI)	11	1%	
Families with children			
Elderly families	N/A		

Housing Needs of Families on the Waiting List			
Families with Disabilities	183	17%	
Race/ethnicity-Cauc	711	66%	
Race/ethnicity-AfroAmerican	205	19%	
Race/ethnicity-Nat. American	118	11%	
Race/ethnicity-Asian	43	4%	
Characteristics by Bedroom Size (Public Housing Only)	Public Housing only-Section 8 not available		
1BR	161	33%	
2 BR	255	53%	
3 BR	38	8%	
4 BR	12	3%	
5 BR	2	2%	
5+ BR	1	1%	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

C. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

Pursue a HOPE VI grant for 2001, revitalize a 200 unit public housing development with an end result of 535 units of new housing which would replace the 200 public housing units on a one to one basis. In addition, the HOPE VI revitalization strategy would create economic development and job/career opportunities to allow for many affordable homeownership opportunities for low and moderate income people in the Duluth area. The HRA's new Section 8 Homeownership Program will also create new means for low-income family home ownership with or without successful HOPE VI funding.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- ☒ Employ effective maintenance and management policies to minimize the number of public housing units off-line
- ☒ Reduce turnover time for vacated public housing units
- ☒ Reduce time to renovate public housing units
- ☒ Seek replacement of public housing units lost to the inventory through mixed finance development
- ☐ Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- ☒ Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- ☐ Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- ☒ Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- ☐ Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- ☒ Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- ☐ Other (list below)

Strategy 2: Increase the number of affordable housing units by:

Select all that apply

- ☐ Apply for additional section 8 units should they become available
- ☒ Leverage affordable housing resources in the community through the creation of mixed - finance housing
- ☒ Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

Select all that apply

- ☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- ☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance

- ☐ Employ admissions preferences aimed at families with economic hardships
- ☐ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- ☐ Employ admissions preferences aimed at families who are working
- ☐ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- ☐ Seek designation of public housing for the elderly
- ☐ Apply for special-purpose vouchers targeted to the elderly, should they become available
- ☐ Other: (list below)

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- ☐ Seek designation of public housing for families with disabilities
- ☒ Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- ☐ Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- ☒ Affirmatively market to local non-profit agencies that assist families with disabilities
- ☒ Other: (list below)
Successfully apply for HOPE VI funds in 2001 and through this housing development initiative, build additional accessible units.

Need: Specific Family Types: Races or ethnicity's with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- ☒ Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- ☐ Other: (list below)

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- ☐ Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- ☐ Market the section 8 program to owners outside of areas of poverty /minority concentrations
- ☐ Other: (list below)

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- ☒ Funding constraints
- ☐ Staffing constraints
- ☒ Limited availability of sites for assisted housing
- ☒ Extent to which particular housing needs are met by other organizations in the community
- ☒ Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- ☒ Influence of the housing market on PHA programs
- ☐ Community priorities regarding housing assistance
- ☐ Results of consultation with local or state government
- ☐ Results of consultation with residents and the Resident Advisory Board
- ☐ Results of consultation with advocacy groups
- ☐ Other: (list below)

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2001 grants)		
a) Public Housing Operating Fund	1,202,064	
b) Public Housing Capital Fund	2,307,014	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	4,100,266	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	306,869	
g) Resident Opportunity and Self-Sufficiency Grants	43,985	
h) Community Development Block Grant	715,823	
i) HOME	420,025	
Other Federal Grants (list below)		
HOME TBRA&Shelter+Care	108,603	
2. Prior Year Federal Grants (unobligated funds only) (list below)		
CHSP	148,415	
Comp Grant	746,888	
3. Public Housing Dwelling Rental Income	2,613,803	
4. Other income (list below)		
Non-dwelling	3,557	
4. Non-federal sources (list below)		

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
Bridges/RAFS	230,140	
Total resources	12,947,452	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- ☐ When families are within a certain number of being offered a unit: (state number)
- ☒ When families are within a certain time of being offered a unit: (6 weeks)
- ☒ Other: (describe) *At initial application.*

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- ☒ Criminal or Drug-related activity
- ☒ Rental history
- ☐ Housekeeping
- ☒ Other (describe) *Other applicable references.*

c. ☒ Yes ☐ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. ☒ Yes ☐ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. ☒ Yes ☐ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

- a. Which methods does the PHA plan to use to organize its public housing waiting list
(select all that apply)

- ☒ Community-wide list
☐ Sub-jurisdictional lists
☐ Site-based waiting lists
☐ Other (describe)

- b. Where may interested persons apply for admission to public housing?

- ☒ PHA main administrative office
☐ PHA development site management office
☐ Other (list below)

- c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection

(3) Assignment

1. How many site-based waiting lists will the PHA operate in the coming year?

None

2. ☐ Yes ☐ No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?

3. ☐ Yes ☐ No: May families be on more than one list simultaneously
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- ☐ PHA main administrative office
☐ All PHA development management offices
☐ Management offices at developments with site-based waiting lists
☐ At the development to which they would like to apply
☐ Other (list below)

(3) Assignment

- a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- ☐ One
☐ Two
☒ Three or More

b. ☒ Yes ☐ No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Income targeting:

☐ Yes ☒ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- ☒ Emergencies
☐ Overhoused
☒ Underhoused
☒ Medical justification
☒ Administrative reasons determined by the PHA (e.g., to permit modernization work)
☒ Resident choice: (state circumstances below)
In an effort to support customer satisfaction & choice, the HRA will process one convenience transfer per month.

☐ Other: (list below)

c. Preferences

1. ☐ Yes ☒ No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection **(5) Occupancy**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- ☐ Victims of domestic violence
- ☐ Substandard housing
- ☐ Homelessness
- ☐ High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences:

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
Victims of domestic violence
Substandard housing
Homelessness
High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs

- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- ☐ The PHA applies preferences within income tiers
- ☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- ☒ The PHA-resident lease
- ☒ The PHA's Admissions and (Continued) Occupancy policy
- ☒ PHA briefing seminars or written materials
- ☒ Other source (list) *By providing a Resident's Guide*

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- ☐ At an annual reexamination and lease renewal
- ☒ Any time family composition changes
- ☐ At family request for revision
- ☐ Other (list)

(6) Deconcentration and Income Mixing

a. ☐ Yes ☒ No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. ☐ Yes ☒ No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

- ☐ Adoption of site based waiting lists
- If selected, list targeted developments below:

- ☐ Employing waiting list “skipping” to achieve deconcentration of poverty or income mixing goals at targeted developments

If selected, list targeted developments below:

- ☐ Employing new admission preferences at targeted developments

If selected, list targeted developments below:

- ☒ Other (list policies and developments targeted below)

- d. ☐ Yes ☒ No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

- e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- ☐ Additional affirmative marketing
☐ Actions to improve the marketability of certain developments
☐ Adoption or adjustment of ceiling rents for certain developments
☐ Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
☐ Other (list below)

- f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

- ☐ Not applicable: results of analysis did not indicate a need for such efforts
☐ List (any applicable) developments below:

- g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

- ☐ Not applicable: results of analysis did not indicate a need for such efforts
☐ List (any applicable) developments below:

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.

Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

- a. What is the extent of screening conducted by the PHA? (select all that apply)
- ☒ Criminal or drug-related activity only to the extent required by law or regulation
 - ☐ Criminal and drug-related activity, more extensively than required by law or regulation
 - ☐ More general screening than criminal and drug-related activity (list factors below)
 - ☐ Other (list below)
- b. ☒ Yes ☐ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c. ☒ Yes ☐ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d. ☒ Yes ☐ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- ☒ Criminal or drug-related activity
 - ☐ Other (describe below)

(2) Waiting List Organization

- a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)
- ☒ None
 - ☐ Federal public housing
 - ☐ Federal moderate rehabilitation
 - ☐ Federal project-based certificate program
 - ☐ Other federal or local program (list below)
- b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)
- ☒ PHA main administrative office
 - ☒ Other (list below) *Applications may be made through the mail.*

(3) Search Time

- a. ☒ Yes ☐ No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

The HRA may grant one or more extensions of the term, but the initial term plus any extensions will never exceed 120 calendar days from the initial date of issuance. To obtain an extension the family must make a request in writing prior to the expiration date. A statement of the efforts the family has made to find a unit must accompany the request. A form for recording their search efforts and additional time can reasonably be expected to result in success the HRA will grant the length of request sought by the family or 60 days, whichever is less.

(4) Admissions Preferences

- a. Income targeting

- ☐ Yes ☒ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

- b. Preferences

1. ☐ Yes ☒ No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- ☐ Victims of domestic violence
- ☐ Substandard housing
- ☐ Homelessness
- ☐ High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)

- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Date and Time

Former Federal preferences

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
 Victims of domestic violence
 Substandard housing
 Homelessness
 High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans’ families
- ☐ Residents who live and/or work in your jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- ☐ Date and time of application
- ☐ Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” (select one)

- ☐ This preference has previously been reviewed and approved by HUD

☐ The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- ☐ The PHA applies preferences within income tiers
- ☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- ☒ The Section 8 Administrative Plan
- ☐ Briefing sessions and written materials
- ☐ Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- ☒ Through published notices
- ☒ Other (list below)

Through referrals and coordinated efforts with other housing providers.

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

(1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- ☒ The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare

rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- ☐ The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0
☒ \$1-\$25
☐ \$26-\$50

2. ☐ Yes ☒ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. ☐ Yes ☒ No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

- ☐ For the earned income of a previously unemployed household member
☐ For increases in earned income
☐ Fixed amount (other than general rent-setting policy)
If yes, state amount/s and circumstances below:

- ☐ Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:

- ☐ For household heads
☐ For other family members
☐ For transportation expenses

- ☐ For the non-reimbursed medical expenses of non-disabled or non-elderly families
- ☐ Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

- ☒ Yes for all developments
- ☐ Yes but only for some developments
- ☐ No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- ☒ For all developments
- ☐ For all general occupancy developments (not elderly or disabled or elderly only)
- ☐ For specified general occupancy developments
- ☐ For certain parts of developments; e.g., the high-rise portion
- ☐ For certain size units; e.g., larger bedroom sizes
- ☐ Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- ☐ Market comparability study
- ☒ Fair market rents (FMR)
- ☐ 95th percentile rents
- ☐ 75 percent of operating costs
- ☐ 100 percent of operating costs for general occupancy (family) developments
- ☐ Operating costs plus debt service
- ☐ The "rental value" of the unit
- ☐ Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)
- ☐ Never
- ☐ At family option
- ☐ Any time the family experiences an income increase
- ☐ Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)_____
- ☒ Other (list below) *Only when family composition changes or if granted a rent decrease within the certification year.*
- g. ☐ Yes ☒ No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)
- ☐ The section 8 rent reasonableness study of comparable housing
- ☐ Survey of rents listed in local newspaper
- ☐ Survey of similar unassisted units in the neighborhood
- ☒ Other (list/describe below) *Section 8 FMR's.*

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

- a. What is the PHA's payment standard? (select the category that best describes your standard)
- ☐ At or above 90% but below 100% of FMR
- ☐ 100% of FMR
- ☐ Above 100% but at or below 110% of FMR
- ☐ Above 110% of FMR (if HUD approved; describe circumstances below)

☒ 110% of the 50th percentile of FMR

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- ☐ FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☐ The PHA has chosen to serve additional families by lowering the payment standard
- ☐ Reflects market or submarket
- ☐ Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- ☒ FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☒ Reflects market or submarket
- ☒ To increase housing options for families
- ☐ Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- ☒ Annually
- ☐ Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- ☒ Success rates of assisted families
- ☒ Rent burdens of assisted families
- ☐ Other (list below)

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- ☒ \$0
- ☐ \$1-\$25
- ☐ \$26-\$50

b. ☐ Yes ☐ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- ☐ An organization chart showing the PHA's management structure and organization is attached.
- ☒ A brief description of the management structure and organization of the PHA follows:

The governing board is made up of 7 commissioners who are appointed by the Mayor of Duluth. The Board of Commissioners hires the Executive Director and makes policy decisions. The Executive Director hires and supervises all other staff. The HRA of Duluth is made up of 5 Departments: Administration, Housing Rehab, Facility Operations, Finance and Tenant Services.

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	1235	241
Section 8 Vouchers	1138	253
Section 8 Certificates	50	15
Section 8 Mod Rehab	75 (SRO)	55
Special Purpose Section 8 Certificates/Vouchers (list individually)	92	50
Public Housing Drug Elimination Program (PHDEP)	486	

Other Federal Programs(list individually)		
Service Coordinator	983	
CHSP	55	

C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

- Admissions and Continued Occupancy Policy
- Facility Operations Policy
- Facility Operations Procedure Manual

(2) Section 8 Management: (list below)

- Section 8 Administrative Plan

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

A. Public Housing

1. ☐ Yes ☒ No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- ☒ PHA main administrative office
☒ PHA development management offices
☐ Other (list below)

B. Section 8 Tenant-Based Assistance

1. ☐ Yes ☒ No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- ☒ PHA main administrative office
☐ Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table

library at the end of the PHA Plan template **OR** at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

☒ The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment -**Table Library**.

-or-

☐ The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

(2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

a. ☒ Yes ☐ No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

☒ The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment

-or-

☐ The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

☐ Yes ☒ No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:
2. Development (project) number:
3. Status of grant: (select the statement that best describes the current status)

- ☐ Revitalization Plan under development
☐ Revitalization Plan submitted, pending approval
☐ Revitalization Plan approved
☐ Activities pursuant to an approved Revitalization Plan underway

☒ Yes ☐ No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
 If yes, list development name/s below: **Harbor View Homes 3-01**

☒ Yes ☐ No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?
 If yes, list developments or activities below: **If Harbor View Homes HOPE VI grant is awarded.**

☒ Yes ☐ No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?
 If yes, list developments or activities below: **See C & D above.**

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☒ No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

☐ Yes ☐ No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Demolition/Disposition Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>	
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>	
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)	
5. Number of units affected:	
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development	
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:	

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☒ No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below

Designation of Public Housing Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. Designation type:	
Occupancy by only the elderly <input type="checkbox"/>	
Occupancy by families with disabilities <input type="checkbox"/>	
Occupancy by only elderly families and families with disabilities <input type="checkbox"/>	
3. Application status (select one)	
Approved; included in the PHA's Designation Plan <input type="checkbox"/>	
Submitted, pending approval <input type="checkbox"/>	
Planned application <input type="checkbox"/>	
4. Date this designation approved, submitted, or planned for submission: (DD/MM/YY)	
5. If approved, will this designation constitute a (select one)	
<input type="checkbox"/> New Designation Plan	
<input type="checkbox"/> Revision of a previously-approved Designation Plan?	
6. Number of units affected:	
7. Coverage of action (select one)	
<input type="checkbox"/> Part of the development	
<input type="checkbox"/> Total development	

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. ☐ Yes ☒ No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. What is the status of the required assessment?	
<input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)	
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)	
4. Status of Conversion Plan (select the statement that best describes the current status)	
<input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway	
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)	
<input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)	

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. ☐ Yes ☒ No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected: 6. Coverage of action: (select one) <input type="checkbox"/> Part of the development

☐ Total development

B. Section 8 Tenant Based Assistance

1. ☐ Yes ☒ No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

- ☐ Yes ☐ No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- ☐ 25 or fewer participants
☐ 26 - 50 participants
☐ 51 to 100 participants
☐ more than 100 participants

b. PHA-established eligibility criteria

- ☐ Yes ☐ No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (l)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

- ☐ Yes ☒ No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? N/A

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- ☒ Client referrals
☒ Information sharing regarding mutual clients (for rent determinations and otherwise)
☒ Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
☒ Jointly administer programs
☐ Partner to administer a HUD Welfare-to-Work voucher program
☐ Joint administration of other demonstration program
☐ Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- ☒ Public housing rent determination policies
☒ Public housing admissions policies
☐ Section 8 admissions policies
☐ Preference in admission to section 8 for certain public housing families
☐ Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
☐ Preference/eligibility for public housing homeownership option participation
☐ Preference/eligibility for section 8 homeownership option participation
☐ Other policies (list below)

b. Economic and Social self-sufficiency programs

- ☒ Yes ☐ No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If "yes", complete the following table; if "no" skip to sub-component 2, Family Self

Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
<i>Drug Elimination Grant Programs</i>	<i>496 units</i>	<i>Tenant choice to participate</i>	<i>Through administrative office of RMC</i>	<i>Public Housing target developments</i>
<i>Family Self-sufficiency Program</i>	132	Waiting list	Main HRA office	both

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2001 Estimate)	Actual Number of Participants (As of: 05/01/01)
Public Housing	11	11
Section 8	121	36

- b. ☒ Yes ☐ No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
- ☒ Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
 - ☒ Informing residents of new policy on admission and reexamination
 - ☐ Actively notifying residents of new policy at times in addition to admission and reexamination.
 - ☒ Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
 - ☐ Establishing a protocol for exchange of information with all appropriate TANF agencies
 - ☐ Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937
--

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- ☒ High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- ☒ High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- ☒ Residents fearful for their safety and/or the safety of their children
- ☒ Observed lower-level crime, vandalism and/or graffiti
- ☒ People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- ☐ Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- ☒ Safety and security survey of residents
- ☒ Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- ☐ Analysis of cost trends over time for repair of vandalism and removal of graffiti
- ☒ Resident reports
- ☒ PHA employee reports
- ☒ Police reports
- ☒ Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- ☐ Other (describe below)

1. Which developments are most affected? (list below)

Harbor View Homes and Tri-Towers

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- ☒ Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- ☐ Crime Prevention Through Environmental Design
- ☒ Activities targeted to at-risk youth, adults, or seniors
- ☒ Volunteer Resident Patrol/Block Watchers Program
- ☐ Other (describe below)

2. Which developments are most affected? (list below)

Harbor View Homes and Tri-Towers

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- ☒ Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- ☒ Police provide crime data to housing authority staff for analysis and action
- ☒ Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- ☐ Police regularly testify in and otherwise support eviction cases
- ☒ Police regularly meet with the PHA management and residents
- ☒ Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- ☐ Other activities (list below)

1. Which developments are most affected? (list below)

Harbor View Homes and Tri-Towers

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- ☒ Yes ☐ No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- ☒ Yes ☐ No: Has the PHA included the PHDEP Plan for FY 2001 in this PHA Plan?
- ☒ Yes ☐ No: This PHDEP Plan is an Attachment. (Attachment Filename: ____)

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

See Attachment

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. ☒ Yes ☐ No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
2. ☒ Yes ☐ No: Was the most recent fiscal audit submitted to HUD?
3. ☒ Yes ☐ No: Were there any findings as the result of that audit?
4. ☐ Yes ☒ No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
5. ☒ Yes ☐ No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. ☒ Yes ☐ No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
 - ☐ Not applicable
 - ☐ Private management
 - ☐ Development-based accounting
 - ☒ Comprehensive stock assessment
 - ☐ Other: (list below)
3. ☐ Yes ☒ No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. ☒ Yes ☐ No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
- ☐ Attached at Attachment (File name)
- ☒ Provided below:

The Resident Advisory Board (locally called the Presidents Club), indicated the following concerns:

1. *The Presidents Council is supportive of the newly proposed Pet Policy. There are strong feelings that dogs are inappropriate in high rise buildings and that the new Pet Policy is appropriately restrictive regarding this issue.*
2. *The Presidents Council is very disappointed and concerned about the proposed cuts in Drug Elimination Grant and Capital Funds. Further physical deterioration of public housing facilities is deemed unacceptable. Cuts in DEG funds will directly affect an increase in crime rates in the TriTowers and Harbor View Homes neighborhoods.*

3. In what manner did the PHA address those comments? (select all that apply)
- ☒ Considered comments, but determined that no changes to the PHA Plan were necessary.
- ☐ The PHA changed portions of the PHA Plan in response to comments
List changes below:
- ☒ Other: (list below)

The HRA will support through NAHRO and other public housing advocacy agencies, full refunding of both the DEG and Capital Fund programs.

B. Description of Election process for Residents on the PHA Board

1. ☐ Yes ☒ No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2. ☐ Yes ☒ No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- ☐ Candidates were nominated by resident and assisted family organizations
☐ Candidates could be nominated by any adult recipient of PHA assistance
☐ Self-nomination: Candidates registered with the PHA and requested a place on ballot
☐ Other: (describe)

b. Eligible candidates: (select one)

- ☐ Any recipient of PHA assistance
☐ Any head of household receiving PHA assistance
☐ Any adult recipient of PHA assistance
☐ Any adult member of a resident or assisted family organization
☐ Other (list)

c. Eligible voters: (select all that apply)

- ☐ All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
☐ Representatives of all PHA resident and assisted family organizations
☒ Other (list)

The Mayor of Duluth appoints all Board members.

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: **City of Duluth, MN**
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☒ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☒ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☒ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
 - **Apply for HOPE VI grant for revitalization of Harbor View Homes**
 - **Provide housing rehabilitation assistance**
 - **Provide down payment assistance**
 - **Create home ownership opportunities for low and moderate income people**
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: **Working jointly to resolve impediments to Fair Housing and in partnership related to Five-Year Plan involving HOPE VI activities.**

B. Other Information Required by HUD

Substantial Deviation Definition

The HRA of Duluth defines substantial deviations or significant amendments or modifications to these plans as discretionary changes in the plans or policies of the HRA that fundamentally change the mission, goals, objectives, or plans of the agency by requiring formal approval of the Board of Commissioners when necessary.

Community Service Administration

General: In order to be eligible for continued occupancy, each adult family member must either; 1) contribute 8 hours per month of community service (not including political activities) within the community in which the public housing development is located, or 2) participate in an economic self-sufficiency program unless they are exempt from this requirement.

Exemptions: The following family members are exempted from this requirement;

-family members who are 62 or older, -family members who are blind or disabled, -family members who are the primary care giver for someone who is blind or disabled, -family members engaged in work activity, -family members who are exempt from work activity under part A title IV of the SS act or under any state welfare program including the welfare to work program, -family members receiving assistance under a state program funded under part A title IV of the SS Act or under any other state welfare program, including welfare to work and who are in compliance with that program.

Notification: The HRA will identify and contact all family members who are required to perform community service. The notification will advise families that their community service obligation will begin upon the effective date of their first annual reexamination on or after 7/1/01. It will also advise them that failure to comply with the community service requirement will result in ineligibility for continued occupancy at the time of any subsequent annual reexamination.

Community Service Opportunities: Community service includes performing work or duties in the public benefit that serve to improve the quality of life and/or enhance resident self-sufficiency, and/or increase the self-responsibility of the resident within the community. The HRA will coordinate with social service agencies, local schools and the Human Resources Office in identifying a list of volunteer community positions.

The Process: At the first annual reexamination on or after 7/1/01, and each annual reexamination thereafter, the HRA will do the following: a) provide a list of volunteer activities and how to obtain them, b) supply documentation instruction, c) assign family a volunteer coordinator, d) receive volunteer coordinator reports prior to each annual reexamination.

Notification of Non-compliance and Opportunity for Cure: The HRA will notify each family when in non-compliance, what possible consequences can take place and what actions to take to become compliant.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

- PHDEP grant for 2001
- Deconcentration Analysis
- Resident Advisory Board List
- Section 8 Homeownership Capacity Statement
- Pet Policy

Public Housing Drug Elimination Program Plan

Note: THIS PHDEP Plan template (HUD 50075-PHDEP Plan) is to be completed in accordance with Instructions located in applicable PIH Notices.

Annual PHDEP Plan Table of Contents:

1. General Information/History
2. PHDEP Plan Goals/Budget
3. Milestones
4. Certifications

Section 1: General Information/History

A. Amount of PHDEP Grant \$306,869

B. Eligibility type (Indicate with an "x") N1 _____ N2 _____ R **X**

C. FFY in which funding is requested 2001

D. Executive Summary of Annual PHDEP Plan

In the space below, provide a brief overview of the PHDEP Plan, including highlights of major initiatives or activities undertaken. It may include a description of the expected outcomes. The summary must not be more than five (5) sentences long

Illegal drug and crime reduction will continue through operation of PHDEP funded programs that have been successful since 1993. The programs funded by PHDEP include: two Community Police substations, a Computer Learning Center, a Youth Job Club, the Safe Neighborhood Program and Citizens Patrol, a Youth Sports and Fitness Program, the After School Enrichment Program and Private Security Services to one of two targeted neighborhoods.

E. Target Areas

Complete the following table by indicating each PHDEP Target Area (development or site where activities will be conducted), the total number of units in each PHDEP Target Area, and the total number of individuals expected to participate in PHDEP sponsored activities in each Target Area.

PHDEP Target Areas (Name of development(s) or site)	Total # of Units within the PHDEP Target Area(s)	Total Population to be Served within
--	---	---

		the PHDEP Target Area(s)
Harbor View Homes	198	456
Tri Towers	286	292

F. Duration of Program

Indicate the duration (number of months funds will be required) of the PHDEP Program proposed under this Plan (place an “x” to indicate the length of program by # of months. For “Other”, identify the # of months).

6 Months _____ **12 Months** _____ **18 Months** **X** **24 Months** _____ **Other**

G. PHDEP Program History

Indicate each FY that funding has been received under the PHDEP Program (place an “x” by each applicable Year) and provide amount of funding received. If previously funded programs have not been closed out at the time of this submission, indicate the fund balance and anticipated completion date. For grant extensions received, place “GE” in column or “W” for waivers.

Fiscal Year of Funding	PHDEP Funding Received	Grant #	Fund Balance as of Date of this Submission	Grant Extension s or Waivers	Anticipat ed Completi on Date
FY 1995					
FY 1996	\$334,261	MN46DEP0030196	0	N/A	N/A
FY 1997	\$325,520	MN46DEP0030197	0	N/A	N/A
FY1998	\$374,400	MN46DEP0030198	0	Yes	7/1/00
FY 1999	\$273,472	MN46DEP0030199	\$6,785.59	Yes	7/1/01

Section 2: PHDEP Plan Goals and Budget

A. PHDEP Plan Summary

In the space below, summarize the PHDEP strategy to address the needs of the target population/target area(s). Your summary should briefly identify: the broad goals and objectives, the role of plan partners, and your system or process for monitoring and evaluating PHDEP-funded activities. This summary should not exceed 5-10 sentences.

PHDEP funds will continue to provide above baseline community police services (HCOP) that serve as a bridge between the prevention and law enforcement

components of drug and crime elimination. Above baseline HCOP concentrate on keeping drugs & gangs out of Harbor View and allows for more concentrated enforcement activities in adjoining areas and other public housing facilities. Through concentrated law enforcement, HCOP have provided a safe environment in which the PHDEP funded human service programs can survive. These additional programs include, youth drug/alcohol education activities, academic enrichment and support activities, violence prevention and intervention services to families and youths, economic and job development initiatives, youth sports/ fitness programs as well as arts and cultural learning.

B. PHDEP Budget Summary

Enter the total amount of PHDEP funding allocated to each line item.

FY 2000 PHDEP Budget Summary	
Budget Line Item	Total Funding
9110 - Reimbursement of Law Enforcement	\$ 96,574
9120 - Security Personnel	\$ 26,000
9130 - Employment of Investigators	
9140 - Voluntary Tenant Patrol	\$ 2,000
9150 - Physical Improvements	\$ 7,817
9160 - Drug Prevention	\$142,360
9170 - Drug Intervention	
9180 - Drug Treatment	
9190 - Other Program Costs	\$ 32,118
TOTAL PHDEP FUNDING	\$306,869

C. PHDEP Plan Goals and Activities

In the tables below, provide information on the PHDEP strategy summarized above by budget line item. Each goal and objective should be numbered sequentially for each budget line item (where applicable). Use as many rows as necessary to list proposed activities (additional rows may be inserted in the tables). PHAs are not required to provide information in shaded boxes. Information provided must be concise—not to exceed two sentences in any column. Tables for line items in which the PHA has no planned goals or activities may be deleted.

9110 - Reimbursement of Law Enforcement					Total PHDEP Funding: \$ 96,574		
Goal(s)	To reduce drug & crime related activity in the target neighborhoods by 25%.						
Objectives	To provide above baseline services with 2 FTE officers and provide on-going contact with residents and HI staff.						
Proposed Activities	# of	Target	Start	Expected	PHDEP	Other	Performance Indi

	Persons Served	Population	Date	Complete Date	Funding	Funding (Amount/Source)	
1. Maintain a sub-station at Harbor View Home & Tri-Towers			1/1/02	6/30/03	\$96,574	\$55,478	Monthly crime statistics report Resident Survey
2. Recruit, train and monitor volunteer Citizen Patrol			4/1/02	6/30/03			Monthly crime statistics report Resident Survey
3. Provide conflict resolution and anti-violent training to youth							Monthly crime statistics report Resident Survey

9120 - Security Personnel					Total PHDEP Funding: \$ 26,000		
Goal(s)	Reduce the number of police calls & disturbances at Tri Towers						
Objectives	Contract for Security Services and increase building security with resident participation.						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Provide additional Security Services on site.			1/1/02	6/30/03	\$26,000		Monthly police reports and resident surveys
2. Provide reports to Bldg Security Committee/Police/& HRA staff			1/1/02	6/30/03			Written reports turned into staff
3.							

9130 - Employment of Investigators					Total PHDEP Funding: \$		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9140 - Voluntary Tenant Patrol					Total PHDEP Funding: \$2,000		
Goal(s)	Reduce Crime and Illegal Drugs at Harbor View Homes by 25%						
Objectives	Recruit, train and monitor citizen patrol unit at Harbor View Homes						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Provide nightly Patrols at HVH	456	Harbor View Homes Neigh.	4/1/02	6/30/03	\$2,000		Police crime reports, resident surveys, contractor reports
2. Recruit, train & monitor citizen patrol members	456	Harbor View Homes Neigh.	4/1/01	6/30/03			Programs reported by HRA staff by police contractor
3.							

9150 - Physical Improvements					Total PHDEP Funding: \$ 7,817		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.Electronic Security Upgrades at Tri-Towers			1/01/02	6/30/003	\$7,817		Court useable verification of crime and illegal activities
2.							
3.							

9160 - Drug Prevention					Total PHDEP Funding: \$142,360		
Goal(s)	Reduce and Prevent Youth and Adult Drug/Alcohol Abuse and Related Crime						
Objectives	Reduce Police calls related to disturbances, violent behavior & other crime by 25%						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.Provide Sports & Fitness Activities for Youth	225	Harbor View Homes Youth	1/1/02	6/30/03	\$23,695		Police crime reports, resident surveys, program participation

							documentation
2.Academic Enrichment Activities & Support	456	Harbor View Homes Youth/Adults	1/1/02	6/30/03	\$58,553		Police crime reports resident surveys program participation documentation
3. Job recruitment for youth	55	Harbor View Homes Youth	1/1/02	6/30/03	\$25,101	\$23,000	Police/Resident reports & # of youth employed
4. Provide Counseling, Education & Intervention Related to Violent Behavior by Youth	175	Harbor View Homes Youth	1/1/02	6/30/03	29,700		Police Crime reports resident surveys program reports

9170 - Drug Intervention					Total PHDEP Funding:		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDep Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9180 - Drug Treatment					Total PHDEP Funding: \$		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9190 - Other Program Costs					Total PHDEP Funds: \$32,118		
Goal(s)	Assure PHDEP funds are spent effectively on eligible activities.						
Objectives	HRA will provide administrative support, oversight and monitoring to PHDEP contractors.						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Meet with contractors on at least a monthly basis to review progress toward meeting goals.			1/1/02	6/30/03	32,118		Contractor goals being met as verified by HRA staff
2. Process contractor reimbursement requests and monitor requested expenditures for eligible expenses.			1/1/02	6/30/03			Reimbursement made to contractor on a timely basis for eligible expenses
3. File HUD reports			6/30/02	6/30/03			Semi-annual HUD reports are filed on a timely basis

Section 3: Expenditure/Obligation Milestones

Indicate by Budget Line Item and the Proposed Activity (based on the information contained in Section 2 PHDEP Plan Budget and Goals), the % of funds that will be expended (at least 25% of the total grant award) and obligated (at least 50% of the total grant award) within 12 months of grant execution.

Budget Line Item #	25% Expenditure of Total Grant Funds By Activity #	Total PHDEP Funding Expended (sum of the activities)	50% Obligation of Total Grant Funds by Activity #	Total PHDEP Funding Obligated (sum of the activities)
<i>e.g Budget Line Item # 9120</i>	<i>Activities 1, 3</i>		<i>Activity 2</i>	
9110	1,2,3	\$72,431	1,2 &3	\$ 96,574

9120	1 & 2	\$19,500	1 & 2	\$ 26,000
9130	1 & 2	\$ 1,500	1 & 2	\$ 2,000
9140				
9150				\$ 7,817
9160	1,2,3 &4	\$106,770	1,2,3 &4	\$142,360
9170				
9180				
9190	1,2 & 3	\$ 24,089	1,2 & 3	\$ 32,118
TOTAL		\$224,290		\$306,869

Section 4: Certifications

A comprehensive certification of compliance with respect to the PHDEP Plan submission is included in the "PHA Certifications of Compliance with the PHA Plan and Related Regulations."

Component 3, (6) Deconcentration and Income Mixing

- a. ☐ Yes ☒ No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete. If yes, continue to the next question.
- b. ☐ Yes ☐ No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete.

If yes, list these developments as follows:

Deconcentration Policy for Covered Developments			
Development Name:	Number of Units	Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]	Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]

Resident Membership on the HRA Duluth Governing Board

Required Attachment to the 2001 Agency Plan

All HRA Board members are appointed by the Mayor of Duluth with approval of the Duluth City Council for five-year terms. Commissioners can be appointed for a second five-year term. The current resident Board member is Edith Bubli.

Membership of the Resident Advisory Board

The HRA of Duluth Resident Advisory Board draws its membership from the Resident Councils of various HRA developments throughout the City. Each Resident Council elects its own membership and the President or Chairperson from each council is appointed to the Resident Advisory Board, called the Presidents Council. The Presidents Council is the official resident advisory group related to the Annual and Five-Year Agency Plan as well as other HRA initiatives.

2001 Resident Advisory Board/Presidents Council Membership List

Loni Johnson
Helen Horral
Theresa Simiyu
Kathy Stevens
Dorine Tyler
Joyce Seppo
Georgia Johnson

Comments of Resident Advisory Board (President's Board)

The President's Council met 5 times to discuss various components of the Agency Plan. There was no dissent about any particular component of the plan. However, there was considerable discussion about the newly proposed Pet Policy. Strong sentiment was expressed by Council members that the Pet Policy's prohibition of dogs in High-rise facilities is appropriate and strongly supported. The energy performance initiative is also strongly supported by the Council. It was clear by comments at meetings that quality window replacement should be priority in energy conservation activities particularly in light of the very long and cold winters here in Duluth. The new Section 8 Council participant thoroughly reviewed the Section 8 Administrative Plan. She described the plan as thorough, understandable and fair. This person also commented that the plan is very lengthy and it is probably unlikely that many Section 8

participants have or would read such a large document even though it is in their own best interest to do so.

The Resident Advisory Board/President's Council met on 10/31/01. At that time the RAB was presented the required changes made by the Regional HUD office. An overview of the CF program was presented and its relationship to the Agency Plan. The specific details needing revision/completion was reviewed. The group unanimously supported the changes to be submitted to HUD.

Section 8 Homeownership Capacity Statement

The HRA of Duluth has been a successful developer, owner and manager of affordable housing since 1948. Since 1963, the HRA has pursued a successful deconcentration policy by developing 300 scattered site public housing units throughout Duluth. Since 1993 the HRA has developed 42 new units of scattered site housing, on time and on budget with a total redevelopment cost of \$3,886,356.

The HRA receives a Capital Funds Program allocation of approximately \$2.3 million annually. The HRA has successfully utilized it's Public Housing Drug Elimination Grant funding through careful grant administration and successful partnerships representing over 1.8 million dollars (100% obligated) over a six year period.

The HRA administers a Housing Rehabilitation Program funded with CDBG, HOME and state funds. A Homebuyer Assistance Program has been operated for the past several years that has assisted 17 Public Housing and Section 8 households in achieving the dream of homeownership. The HRA operates the following programs: Family Self-Sufficiency; Service Coordinator; Assisted Living; and Congregate Meals.

The HRA has earned seven National Awards of Merit from NAHRO in the past five years. The HRA was also nominated for a National Award of Excellence for the design of its Townhouse development in 1995 and was recognized by HUD with a Best Practice Award for its' Assisted Living Program. The HRA has been a national leader in administering it's Lead Abatement Program and has received state recognition for its' progressive infill housing strategies. The HRA is annually the City's largest sub-grantee for the Community Development Block Grant program, providing housing rehab services to over 200 households each year and leveraging approximately \$4 of funding for each \$1 of CDBG funding.

The HRA endeavors to create the necessary partnerships and additional staff capacity during the 2001 fiscal year to implement a Section 8 Homeownership Program in 2002. The HRA has been meeting with LISC, Neighborhood Housing Services, the City of Duluth and financial institutions to begin the education process regarding HUD guidelines for the implementation process. If the HRA is successful with it's 2001 HOPE VI application, the Section 8 Homeownership Program will fit the vision of

neighborhood revitalization that is articulated in the HOPE VI application. If not funded by HOPE VI in 2001, a new Section 8 Homeownership strategy will fit with an alternative affordable housing vision that includes the overall re-engineering of HRA's portfolio.

PHA Plan Table Library

CAPITAL FUND PROGRAM TABLES START HERE

Annual Statement/Performance and Evaluation Report					
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHA Name: Housing and Redevelopment Authority of Duluth, MN		Grant Type and Number Capital Fund Program Grant No: MN46P00350101 Replacement Housing Factor Grant No:			Federal FY of Grant: 2001
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:)					
<input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report Period Ending					
Lin e No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds	0	0	0	0
2	1406 Operations	\$ 235,360.70			
3	1408 Management Improvements	35,000			
4	1410 Administration	235,360.70			
5	1411 Audit	0			
6	1415 Liquidated Damages	0			
7	1430 Fees and Costs	75,000			
8	1440 Site Acquisition	0			
9	1450 Site Improvement	50,000			
10	1460 Dwelling Structures	1,272,885.60			
11	1465.1 Dwelling Equipment— Nonexpendable	0			
12	1470 Nondwelling Structures	0			

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHA Name: Housing and Redevelopment Authority of Duluth, MN		Grant Type and Number Capital Fund Program Grant No: MN46P00350101 Replacement Housing Factor Grant No:			Federal FY of Grant: 2001
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report Period Ending					
Lin e No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
13	1475 Nondwelling Equipment	40,000			
14	1485 Demolition	10,000			
15	1490 Replacement Reserve	0			
16	1492 Moving to Work Demonstration	0			
17	1495.1 Relocation Costs	0			
18	1499 Development Activities	\$ 400,000			
19	1501 Collateralization or Debt Service	0			
20	1502 Contingency	0			
21	Amount of Annual Grant: (sum of lines 2 – 20)	\$2,353,607			
22	Amount of line 21 Related to LBP Activities	\$300,000			
23	Amount of line 21 Related to Section 504 compliance	0			
24	Amount of line 21 Related to Security – Soft Costs	0			
25	Amount of Line 21 Related to Security – Hard Costs	0			
26	Amount of line 21 Related to Energy Conservation Measures	0			

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: Housing and Redevelopment Authority of Duluth, Minnesota		Grant Type and Number Capital Fund Program Grant No: MN46P00350101 Replacement Housing Factor Grant No:				Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003001 Harbor View Homes	Modernization for development related to HOPE VI activities	1498		\$400,000				
MN46P003002 Fairmont Homes	Exterior renovations to include re-roofing, window replacement, front & rear porch installations, siding & landscaping	1460 1450		\$360,685.60 \$50,000				
MN46P003002 Grand View Manor	Duct cleaning	1460		\$25,000				
MN46P003004 Midtowne Manor I	Duct cleaning	1460		\$35,000				
MN46P003005 Ramsey Manor	Duct cleaning	1460		\$35,000				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Housing and Redevelopment Authority of Duluth, Minnesota		Grant Type and Number Capital Fund Program Grant No: MN46P00350101 Replacement Housing Factor Grant No:				Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46P003008 Scattered sites	Replace windows	1460		\$517,200				
MN46P003011 scattered sites	Lead Paint/Haz Material abatement and modernization	1460		\$100,000				
	Demolition of 216 S. Basswood.	1485		\$10,000				
MN46P003012 Scattered sites	Lead paint/Haz materials abatement and modernization	1460		\$100,000				
MN46P003018 Scattered sites	Lead paint/Haz materials abatement and modernization	1460		\$100,000				

Annual Statement/Performance and Evaluation Report

Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)

Part II: Supporting Pages

PHA Name: Housing and Redevelopment Authority of Duluth, Minnesota		Grant Type and Number Capital Fund Program Grant No: MN46P00350101 Replacement Housing Factor Grant No:				Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
MN46 ET HA-wide activities	Operations	1406		\$235,360.70				
	Mgmt Improvements							
	a. Housing Operations Supervisor	1408		\$35,000				
	b. Staff training							
	Non-technical salaries and fringe benefits	1410		\$235,360.70				
	Architectural/Engineering fees	1430						
	a. lead paint/Haz mtl abatement & modernization			\$75,000				
	b. Fairmont Homes upgrades							
c. Replace scattered site windows								
	Computer Hardware	1475						
	Maintenance Vehicle	1475		\$15,000				
Capital Fund Program Tables				Page 63				
				\$25,000				

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

[illegible]

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHA Name: HRA Duluth, MN		Grant Type and Number Capital Fund Program No: MN46P00350101 Replacement Housing Factor No:					Federal FY of Grant: 2001
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
MN46P003001 Harbor View Homes	3-31-03			9-30-04			
MN46P003002 Fairmont Homes	3-31-03			9-30-04			
MN46P003002 Grand View Manor	3-31-03			9-30-04			
MN46P003004 Midtowne Manor I	3-31-03			9-30-04			
MN46P003005 Ramsey Manor	3-31-03			9-30-04			
MN46P003008 Scattered Sites	3-31-03			9-30-04			
MN46P003011 Scattered Sites	3-31-03			9-30-04			
MN46P003012 Scattered Sites	3-31-03			9-30-04			
MN46P003018 Scattered Sites	3-31-03			9-30-04			
MN46 ETAL HA Wide Activities	3-31-03			9-30-04			

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part III: Implementation Schedule							
PHA Name: HRA Duluth, MN			Grant Type and Number Capital Fund Program No: MN46P00350101 Replacement Housing Factor No:				Federal FY of Grant: 2001
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	

**Capital Fund Program
Five-Year Action Plan**
Part I: Summary

PHA Name

☒ **Original 5-Year**
☐ **Revision No:**

Development
Number/Name/H
A-Wide

Year 1

Work Statement for Year 2
FFY Grant:
PHA FY: 2002

Work Statement for Year 3
FFY Grant:
PHA FY: 2003

Work Statement
Year 4
FFY Grant:
PHA FY: 2004

MNP0300002- Fairmont Exterior Upgrades-	Annual Statement	\$447.886		
Install Floor Tile				
Install low flow shower Heads				
Install Low FlowToilets				
BR Sink Aerators				
Grand View Manor				
Install new High Eff. Hot Wtr Htrs				\$29,822
Install New Boilers				134,475
Install Make up Air Units				31,962
Replace Unit Doors & Locks				
Replace Roof				
Install new Washers/Dryers				
MN46P003006- TriTowers				
Replace Windows		\$375,000	\$736,050	\$306,227
Replace Unit & Corridor Doors/Locks				
Replace Washers/Dryers				

MN46 ET AL HA- Wide Activities				
Operations		\$235,361	\$235,361	\$235,361
Management Improvements		35,000	35,000	35,000
Admin Salaries & Fringe Benefits		235,361	235,361	235,361
Architectural/Enginee ring Fees		100,000	100,000	100,000
Computer Upgrades		15,000	15,000	15,000
MN46P003001-HVH Exterior Upgrades			\$116,836	
MN46P003010-KM Upgrades to Skywalk Cooling Improvemts Wtr/Mech Cooling Conversion Heat System Improvents High Eff Boiler Burn. High Eff Dom Hot Wtr Heaters New Washers/Dryers		\$110,000		
MNP003004-MTM I Replace Stoves/Refrigerators Elevator Upgrades Ext Site Improvemts New Washers/Dryers			\$80,000	\$230.848
MN46P003014-MTM II Replace Dining Furn. Elevator Upgrades Ext Site Improvemts High Eff Boiler Burners Replace Washers/Dryers				
MN46P003003-RM Install New Washers/Dryers Roof Replacement				\$99,552

Scattered Sites				
MN46P003007 Lead Paint Abate & Modernization		\$150,000	\$100,000	\$150,000
MN46P003011 Lead Paint Abate & Modernization		\$200,000	\$200,000	\$200,000
MN46P003012 Lead Paint Abate. & Modernization		\$200,000	\$200,000	\$200,000
MN46P003017 Exterior Upgrades				\$150,000
MN46P003018 Lead Paint Abate. & Modernization		\$200,000		\$200,000
CFP Funds Listed for 5-year planning				
Replacement Housing Factor Funds				

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages—Work Activities

Activities for Year 1	Activities for Year 2 FFY Grant: PHA FY: 2002			Activities for Year 3 FFY Grant: PHA FY: 2003	
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories
See	<i>MN46P003002 Fairmont Homes</i>	<i>Exterior Upgrades</i>	\$447,886.30	<i>MN46P003001 Harbor View Homes</i>	<i>Exterior Upgrades</i>
Annual	MN46P003006 Tri-Towers	<i>Replace Windows</i>	\$375,000.00	MN46P003004 Midtowne Manor I	<i>Replace Stoves and Refrigerators</i>
Statement	<i>MN46P003007</i> Scattered Sites	Lead Paint/Hazardous Materials abatement and Modernization	\$150,000.00	<i>MN46P003006 Tri-Towers</i>	<i>Replace Windows</i>
	MN46P003010 King Manor	Upgrades to Skywalk	\$110,000.00	MN46P003007 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization
	MN46P003011 Scattered Sites	Lead Paint /Hazardous Material abatement and Modernization	\$200,000.00	MN46P003011 Scattered sites	Lead Paint/Hazardous Material Abatement and Modernization
	MN46P003012 Scattered sites	Lead Paint/Hazardous Material Abatement and Modernization	\$200,000.00	MN46P003012 Scattered sites	Lead Paint/Hazardous Material Abatement and Modernization
	MN46P0030014 Midtown Manor II	Replace Furniture in Dining Pod	\$50,000.00	MN46P003014 Midtowne Manor II	Elevator Upgrades
	MN46P00330018 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	\$200,000.00	MN46P0030018 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization
	MN46 ET AL HA Wide Activities	Operations	\$235,360.70	MN46 ET AL HA Wide Activities	Operations
	MN46 ET AL HA Wide Activities	Management Improvements	\$35,000.00	MN46 ET AL HA Wide Activities	Management Improvements
	MN46 ET AL HA Wide Activities	Administrative Salaries and Fringe Benefits	\$235,360.70	MN46 ET AL HA Wide Activities	Administrative Salaries and Benefits
	MN46 ET AL HA Wide Activities	Architectural and Engineering Fees	\$100,000.00	MN46 ET AL HA Wide Activities	Architectural and Engineering Fees

	MN 46 ET AL HA Wide Activities	Computer Upgrades	\$15,000.00	MN46 ET AL HA Wide Activities	Computer U
	Total CFP Estimated Cost		\$2,353,607.00		

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages—Work Activities

Activities for Year : <u>4</u> FFY Grant: 2004 PHA FY:			Activities for Year: <u>5</u> FFY Grant:2005 PHA FY:		
Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	E
<i>MN46P003002 Grandview Manor</i>	<i>High Efficiency Domestic Hot Water Heater</i>	\$29,822.00	<i>MN46P003002 Fairmont Homes</i>	<i>Install Floor Tile</i>	
MN46P003002 Grandview Manor	<i>High Efficiency Hot Water Boilers</i>	\$134,475.00	MN46P003002 Fairmont Homes	<i>Install Low Flow Shower Heads</i>	
<i>MN46P003002 Grandview Manor</i>	Glycol/Loop Make-up air Unit	\$31,962.00	<i>MN46P003002 Fairmont Homes</i>	<i>Install Low Flow Toilets</i>	
MN46P0030004 Midtowne Manor I	Elevator Upgrades	\$230,848.30	MN46P003002 Fairmont Homes	Install Bathroom Sink Aerators	
MN46P003005 Ramsey Manor	Replace Roof	\$99,552.00	MN46P003002 Grandview Manor	Replace Apartment Corridor Doors and Locks	
MN46P003006 Tri-Towers	Replace Windows	\$306,227.00	MN46P003002 Grandview Manor	Replace Roof	
MN46P003007 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	\$150,000.00	MN46P003002 Grandview Manor	Install Front Load Washers and Gas Dryers	
MN46P003011 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	\$200,000.00	MN46P003004 Midtowne Manor I	Exterior Site Improvements	
MN46P003012 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	\$200,000.00	MN46P003004 Midtowne Manor I	Install Front Load Washers and Gas Dryers	
MN46P003017 Scattered Sites	Exterior Upgrades	\$150,000.00	MN46P003005 Ramsey Manor	Install Front Load Washers and Gas Dryers	
MN46P003018 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	\$200,000.00	MN46P003006 Tri-Towers	Replace Apartment Corridor Doors and Locks	

MN46 ET AL HA Wide Activities	Operations	\$235,360.70	MN46P003006 Tri- Towers	Install Front Load Washers and Gas Dryers	
MN46 ET AL HA Wide Activities	Management Improvements	\$35,000.00	MN46P003007 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	
MN46 ET AL HA Wide Activities	Administrative Salaries and Fringe Benefits	\$235,360.70	MN46P003010 King Manor	Cooling Improvements – Single Pass Water to Mechanical Cooling Conversion	
MN46 ET AL HA Wide Activities	Architectural and Engineering Fees	\$100,000.00	MN46P003010 King Manor	Heating System Improvement – New High Efficiency Boiler Burners	
MN46 ET AL HA Wide Activities	Computer Upgrades	\$15,000.00	MN46P003010 King Manor	High Efficiency Domestic Hot Water Heater	
			MN46P003010 King Manor	Install Front Load Washers and Gas Dryers	
			MN46P003011 Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	
			MN46P003012- Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	
			MN46P003014- Midtowne Manor II	Exterior Site Improvements Heating System Improvements-New High Efficiency Burners Install Front Load Washers and Gas Dryers	
			MN460003018 – Scattered Sites	Lead Paint/Hazardous Material Abatement and Modernization	
Total CFP Estimated Cost		\$2,353,607.00			\$2,

[illegible]

HRA Duluth Pet Policy

Adopted June 26, 2001

INTRODUCTION

The purpose of this Policy is to establish the HRA's policy and procedures for ownership of pets and to establish reasonable rules governing the keeping of pets. The rules adopted are related to the legitimate interest of the HRA to provide a decent, safe and sanitary living environment for all tenants, to protecting and preserving the physical condition of the property and the financial interest of the HRA.

Pet owners will be required to adhere to all State and local laws, city ordinances, and this Pet Policy regarding their pets.

ASSISTIVE ANIMALS

This policy and the dwelling lease does not limit or impair the right of persons with disabilities to own animals that are used to assist them. Appropriate documentation of the following must be submitted to the HRA:

That there is a person in the household who has a disability which requires such an animal;

That the animal has been professionally trained to assist with the specified disability.

For animals that assist the disabled, the HRA will waive the pet policy (such as size of animal) once the resident or applicant has submitted appropriate documentation.

A. MANAGEMENT APPROVAL OF PETS

The pet owner must enter into a Pet Agreement, which will be a lease addendum, with the HRA.

Pets will not be kept in the unit prior to approval of the pet by HRA management.

Registration of Pets

Pets must be registered with the HRA before they are brought onto the premises. Registration includes a certificate signed by a licensed veterinarian or State/local authority that the pet has received all inoculations required by State or local law and/or the HRA, and that the pet has no communicable disease(s) and is pest-free.

Proof of updated inoculations must be submitted each year at the time of the owner's annual recertification.

Dogs and cats must be spayed or neutered by the age of 6 months.

Execution of a Pet Agreement with the HRA stating that the tenant acknowledges complete responsibility for the care and cleaning of the pet will be required.

The HRA will take a photo of cats and dogs for registration, as well as require the pet to wear an identification tag to show the pet has been registered with the HRA.

If an approved pet that is not required to be spayed or neutered (e.g., gerbil, bird, etc.) gives birth to a litter, the resident must remove the litter from the premises.

Refusal To Register Pets

If the HRA refuses to register a pet, a written notification will be sent to the pet owner stating the reason for denial. The reasons the HRA will refuse to register include, but are not limited to:

The pet is not a *common household pet* as defined in this policy;

Keeping the pet would violate any part of the Pet Policy;

The pet owner fails to provide complete pet registration information, or fails to update the registration annually;

The HRA reasonably determines that the resident was unable to fulfill their past obligations as a pet owner;

The HRA reasonably determines that the pet owner is unable to keep the pet in compliance with the pet rules and other lease obligations. The pet's temperament and behavior may be considered as a factor in determining the pet owner's ability to comply with provisions of the lease.

The notice of refusal may be combined with a notice of a pet violation.

B. STANDARDS FOR PETS

Types of Pets Allowed

No more than a TOTAL of three non-aquatic animals may be kept in the unit at one time. One dog or one cat may be kept in the unit, but not one of each. The HRA will allow NO exotic, non-domesticated, dangerous, wild, poisonous, farm or breeding animals to occupy an apartment or home. Allowing such an animal to occupy the unit will be a violation of the lease agreement.

Types of pets allowed:

1. Dogs

Maximum number: one

Maximum adult weight: 30 pounds

Must be housebroken

Must be spayed or neutered

Must have all required inoculations

Must be licensed as specified now or in the future by State law, local ordinance and/or the HRA. The HRA must be provided with a copy of the license.

. Cats

Maximum number: one

Must be spayed or neutered

Must have all required inoculations

Must be trained to use a litter box or other waste receptacle

Must be licensed as specified now or in the future by State law, local ordinance and/or the HRA. The HRA must be provided with a copy of the license.

3. Small Birds (Canaries, parakeets, lovebirds, or others as approved by Management)

Maximum number: 2 TOTAL

Must be enclosed in a cage at all times

4. Fish

Maximum aquarium size: **10 gallons**

Must be maintained on an approved stand

5. Rodents (Guinea pig, hamster, or gerbil ONLY)

Maximum number: 2 TOTAL

Must be enclosed in an acceptable cage at all times

Must have all inoculations as specified now or in the future by State law, local ordinance and/or the HRA.

6. Small Turtles

Maximum number: 2

Must be enclosed in an acceptable cage or container at all times.

7. Ferrets

Maximum number: 1

Must have any or all inoculations as specified now or in the future by State law, local ordinance and/or the HRA.

C. PETS TEMPORARILY ON THE PREMISES

Pets that are not registered with a tenant may not visit the complex/buildings.

Residents are prohibited from feeding or harboring stray animals or pests (including squirrels, seagulls, etc.)

D. DESIGNATION OF PET/NO-PET AREAS

For the benefit of families who are allergic, frightened, or for other reasons, do not want to reside in a complex which allows cats, dogs and rodent type pets, in addition to the density and lack of pet exercise area in accordance with Federal law, the following areas are designated as no-pet areas:

**ALL PROPERTY AND UNITS AT HARBORVIEW HOMES –
NO DOGS OR CATS**

**TRI-TOWERS, KING MANOR, GRANDVIEW MANOR, MIDTOWNE I
AND II AND RAMSEY MANOR**

NO DOGS, OR RODENT TYPE PETS

Any resident who lives in one of these designated areas who has a pet already registered with the HRA as of 7/1/01 which would otherwise be prohibited, will have that pet grandfathered in under this policy. Once the “grandfathered in” registered pet is removed from the unit, the resident will fall under the terms and conditions of the current pet policy.

E. PET FEES AND DEPOSITS

The resident/pet owner shall be required to pay a \$200.00 refundable deposit (for the purpose of defraying all reasonable costs directly attributable to the presence of the pet in the unit). Pet deposits apply to dogs and cats only.

Payment will be as follows: the deposit of \$200.00 will be paid on or prior to the date the pet is properly registered and brought into the apartment. **NO EXCEPTIONS.**

The HRA reserves the right to change or increase the required deposit.

The HRA will refund the Pet Deposit to the tenant, less any damage caused by the pet to the dwelling unit, within 21 days upon removal of the pet or the owner from the unit. If the tenant moves as well, excess charges will be taken from the regular unit security deposit. The resident will be billed for any charges remaining after these deposits have been applied. If the tenant remains, excess charges will be billed to the tenant’s account and payment of these charges will be due and payable upon receipt of the billing.

The HRA will return the Pet Deposit to the person designated by the former tenant in the event of the former tenant's incapacitation or death.

All reasonable expenses incurred by the HRA as a result of damages directly attributable to the presence of the resident’s pet in the unit and/or project will be the responsibility of the resident.

F. ALTERATIONS TO UNIT

Residents/pet owners shall not alter their unit, patio, premises or common areas to create an enclosure for any animal. Installation of pet doors is prohibited.

G. CLEANLINESS REQUIREMENTS

The pet and its living quarters must be maintained in a manner to prevent odors and any other unsanitary conditions in the owner's unit and surrounding areas.

Litter Box Requirements. Residents owning cats shall maintain waterproof litter boxes for cat waste. All animal waste from litter boxes shall be picked up daily by the pet owner and the waste and/or litter from the litter box must be disposed of in sealed plastic trash bags, and placed in a trash bin or dumpster. Under no circumstances should litter be placed in a trash chute in the high rise buildings.

Litter shall not be disposed of by being flushed through a toilet or in a sink.

Litter boxes shall be stored inside the resident's dwelling unit.

Removal of Waste From Other Locations. The Resident/Pet Owner shall be responsible for the removal of waste, both indoors and outdoors, by placing it in a sealed plastic bag and disposing of it.

The resident/pet owner shall take adequate precautions to eliminate any pet odors within or around the unit and to maintain the unit in a sanitary condition at all times.

H. PET WASTE REMOVAL CHARGE

Action to be taken if the family responsible for the pet fails to remove waste created by their animal:

First offense: a pet waste removal charge of \$25.00 and/or report of the incident to the proper authorities

Second offense: a pet waste removal charge of \$50.00 and/or a report of the incident to the proper authorities

Third offense: eviction and/or a report of the incident to the proper authorities.

Pet deposit and pet waste removal charges are not part of rent payable by the resident.

If the tenant is in occupancy when damage, repair, removal of waste, etc. occurs, the tenant shall be billed for such costs as a current charge.

If such expenses occur as the result of a move-out inspection, they will be deducted from the pet deposit. Excess charges will be taken from the regular security deposit. The resident will be billed for any charges remaining after these deposits have been applied.

The expense of flea/pest treatment for the dwelling, shall be the responsibility of the resident.

I. PET AREA RESTRICTIONS

Pets must be maintained within the resident's unit. When outside of the unit (within the building or on the grounds) dogs and cats must be kept on a leash and under the control of the resident or other responsible individual at all times.

Pets are not allowed to roam free outside the unit. Pets may not be left tied, chained or tethered outside or left in a vehicle unattended.

Pets are not permitted in common areas such as community rooms and laundry areas. Pet bedding shall not be washed in any common laundry facilities.

A pet owner shall physically control or confine his/her pet during the times when HRA employees, agents of the HRA, or others must enter the pet owner's apartment to conduct business, provide services, enforce lease terms, etc.

J. NOISE

Pet owners must agree to control the noise of pets so that such noise does not constitute a nuisance to other residents or interrupt their peaceful enjoyment of their housing unit or premises. This includes, but is not limited to loud, continuous, or incessant barking, howling, whining, biting, scratching, chirping, meowing, or other such activities.

Pets who make noise continuously and/or incessantly for a period of 10 minutes or intermittently for 30 minutes or more, which disturbs any person at any time during the day or night will be considered a nuisance.

Repeated substantiated complaints regarding the pet disturbing the peace of neighbors through noise, odor, animal waste, or other nuisance may result in the owner having to remove the pet and/or him/herself from the unit.

K. PET CARE

Cats may not be left unattended in any apartment for a period of more than two days. Dogs may not be left unattended in any apartment for a period of more than 9 hours. Other pets (excluding fish) may not be left unattended in any apartment for an excessive period of time.

All resident pet owners must provide adequate care, nutrition, exercise and medical attention for his/her pet. Resident pet owners must maintain the pet in accordance with State, local, public health, animal control, and/or anti-cruelty laws.

Upon request, the HRA must be provided with a copy of a veterinarian statement/diagnosis in the case of an animal suffering from an illness.

Resident pet owners must recognize that other residents may have chemical sensitivities or allergies related to pets, or may be easily frightened or disoriented by animals. Pet owners must agree to exercise courtesy with respect to other residents.

L. RESPONSIBLE PARTIES

The resident pet owner will be required to designate a responsible party for the care of the pet if the health or safety of the pet is threatened by the death or incapacity of the pet owner, or by other factors that render the pet owner unable to care for the pet.

The resident pet owner is fully responsible and liable for their pet in regard to any liability, judgments, expense (including attorney's fees), or claims by third parties for any injury to any person or damage to property of any kind whatsoever caused by the resident's pet and/or their guest's pet, and agrees to hold the HRA harmless from any claims caused by any action or inaction of the pet. The HRA will assume no responsibility for any damages or injuries to person or property caused by pets.

M. PET RULE VIOLATION NOTICE

If a determination is made that a resident pet owner has violated the Pet Rule Policy, the HRA will attempt to resolve the issue, depending on the severity of the violation. The HRA may speak with the resident/pet owner verbally, and/or give written notice.

A written notice will contain a brief statement of the basis for the determination and the pet rule(s) which were violated. The notice will also state the time period the resident has to correct the violation and that the resident/pet owner's failure to correct the violation or appear at any requested meeting will result in initiation of procedures to terminate the pet owner's tenancy.

N. NOTICE FOR PET REMOVAL

If the resident/pet owner and the HRA are unable to resolve the violation at the meeting or the pet owner fails to correct the violation in the time period allotted by the HRA, the HRA may serve notice to remove the pet.

The notice shall contain:

A brief statement of the factual basis for the HRA's determination of the Pet Rule that has been violated;

The requirement that the resident /pet owner must remove the pet within a specified time (determined by the HRA based on the severity of the situation), and

A statement that failure to remove the pet will result in the initiation of termination of tenancy procedures.

O. TERMINATION OF TENANCY

The HRA may initiate procedures for termination of tenancy based on a pet rule violation including, but not limited to:

The pet owner has failed to remove the pet or correct a Pet Policy/Agreement violation within the time period specified,

The pet owner has had repeated Pet Policy/Agreement violations, or

The pet rule violation is sufficient to begin procedures to terminate tenancy under terms of the lease.

The HRA grievance policy shall be applicable to all individual grievances arising out of violations of this Pet Policy.

P. PET REMOVAL

If the death or incapacity of the pet owner threatens the health or safety of the pet, or other factors occur that render the owner unable to care for the pet, the situation will be reported to the Responsible Party designated by the resident/pet owner. This includes pets that are poorly cared for or have been left unattended as stated in Section J of this Pet Policy.

If the responsible party is unwilling or unable to care for the pet, or if the HRA after reasonable efforts cannot contact the responsible party, the HRA may contact the appropriate State or local agency and request the removal of the pet.

If the pet is removed as a result of any aggressive act on the part of the pet, the pet will not be allowed back on the premises. No pet that bites or attacks will be permitted, nor will any animal deemed to be potentially harmful to the health or safety of others.

If the owner has not been responsible in caring for the pet or in other matters concerning the Pet Policy or Pet Agreement, the HRA will have discretion as to whether other pets will be allowed in the household in the future. This will be determined on a case-by-case basis.

Q. EMERGENCIES

The HRA will take all necessary steps to insure that pets which become vicious, display symptoms of severe illness or abuse, or demonstrates behavior that constitutes an immediate threat to the health or safety of others, are referred to the appropriate State or local entity authorized to remove such animals. When deemed necessary, the HRA, in conjunction with an appropriate agency, may enter the apartment on an emergency basis to remove the pet and place it with an appropriate agency.

If it is necessary for the HRA to place the pet in a shelter facility, the cost will be the responsibility of the tenant/pet owner.

R. INOCULATIONS

Animals who are kept in any unit must be inoculated by a licensed veterinarian as required by State law, local ordinance, and/or the HRA.

Dogs must be inoculated for rabies, canine distemper, hepatitis, parainfluenza, and parvovirus.

Cats must be inoculated for rabies, feline distemper, rhinotracheitis, calici virus, and panleukopenia virus.

Ferrets must be inoculated for canine distemper.

Residents must take appropriate action to protect their pets from fleas and ticks to prevent fleas and ticks from becoming commonplace. Verification of this will be required from a veterinarian or other professional. Residents will be required to update these inoculations annually, and submit proof at each annual reexamination.

